

PRIVILEGED AND CONFIDENTIAL -
ATTORNEY-CLIENT COMMUNICATION

Philip Morris U.S.A.
RECORDS^{1/} RETENTION PROGRAM QUESTIONNAIRE

TO: Thomas G. Slater, Jr., Esq.
Ray V. Hartwell, III, Esq.
Hunton & Williams

FROM: Name: _____
Title: _____
Functional Area: _____
Region: _____
Dept./Div.: _____
Section: _____
Immed. Supervisor: _____

1. a. Does your department have an official Philip Morris retention schedule for records generated by it? If your answer is yes, please attach a copy of the current version of each such schedule to your response.
- b. Does your department have a retention schedule different from any identified in 1.a. above for records generated by it? If your answer is yes, please attach a copy of the current version of each such schedule to your response.
- c. If your responses to both 1.a. and 1.b. above are no, how does your department determine retention periods for the records it generates?

^{1/}Records are defined as "all books, papers, notes, photographs, writings or other documentary materials, regardless of physical form or characteristics, including computerized records, tapes or other forms of information or data storage. A record may take various forms -- paper, microfilm, computer tape, word processing disk, microfiche, video disk, etc." Records include personal files, even files kept at home which relate to the Company's business.

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2. If your answer to 1.a. or 1.b. above was yes, to what extent is the schedule(s) complied with? What is done, by whom, to monitor compliance with the schedule(s)?
 3. Do you use a records management manual? If your answer is yes, please provide a copy of the manual with your response.
 4. Please list on the attached sheet entitled CURRENT DEPARTMENT FILES each category of documents or files maintained by your department, the approximate volume in each category (indicating whether in inches, feet, etc.), the chronology (or year of the earliest dated document in the category), the retention period (how long the documents or files in that category are retained as current department files) and whether the retention period is determined as a matter of office practice or routine (OPR) [for example, through a practice or procedure described in response to 1.c., above] or pursuant to a retention schedule (RS) identified in response to 1.a. or 1.b., above.
 5. Please list on the attached sheet entitled PERSONAL/CONVENIENCE FILES each category of business-related documents or files maintained by personnel in your department in addition to current department files for their own personal convenience, the approximate volume in each category, the chronology, the retention period, and whether the retention period is per OPR or your RS.
 6. Please list on the attached sheet entitled STORED FILES each category of stored documents or files maintained by your department, the location of the stored files, the approximate volume in each category, the chronology, the retention period, and whether the retention period is per OPR or your RS.
 7. How frequently do you retrieve files that your department has stored? What reasons most often lead you to retrieve files that have been stored?
 8. Is your storage adequate for current needs?_____
- Do you believe your storage area will be adequate to meet needs for at least the next five years?_____

9. Please list on the attached sheet entitled ELECTRONIC DATA each category of electronic data maintained by your department, whether the data is located (i.e., P.C., mainframe, etc.) the approximate volume in each category (i.e., number of floppy disks, microfilm reels, hard disks and the size of the hard disk, etc.), the chronology, the retention period, and whether the retention period is per OPR or your RS.
10. If it is difficult for you to identify each category of document or file requested in 4., 5., 6. and 9. above, please explain why and estimate the number of hours it would take to make that identification.
11. How does your department dispose of outdated or unneeded:
- a. department files?_____
 - b. personal/convenience files?_____
 - c. stored files?_____
 - d. electronic data?_____
12. What kinds of records security practices or policies exist in your department?
13. Please identify the name, title, telephone extension and responsibilities of the person(s) responsible for records management in your department.
14. State the number of employees in the department, section or other group to which the information provided in response to this questionnaire applies.

15. Check any of the below that describe your perception of the quality of records management in your department:

<input type="checkbox"/> Excellent	<input type="checkbox"/> Strictly enforced
<input type="checkbox"/> Very good	<input type="checkbox"/> Arbitrarily enforced
<input type="checkbox"/> Adequate	<input type="checkbox"/> Not enforced
<input type="checkbox"/> Inadequate	<input type="checkbox"/> Non-existent
<input type="checkbox"/> Other (specify): _____	

16. What problems do you encounter in your daily records use?

17. How might records management in your department be improved?

18. What laws and governmental regulations affect your departmental records or require you to retain records?

19. Other comments:

CURRENT DEPARTMENT FILES

<u>Category</u>	<u>Approx. Vol.</u>	<u>Chronology</u>	<u>Ret. Per.</u>	<u>OPRorRS?</u>
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PERSONAL/CONVENIENCE FILES

<u>Category</u>	<u>Approx. Vol.</u>	<u>Chronology</u>	<u>Ret. Per.</u>	<u>OPRorRS?</u>
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STORED FILES

<u>Category</u>	<u>Loc.Stored</u>	<u>Approx. Vol.</u>	<u>Chronology</u>	<u>Ret. Per.</u>	<u>ORPorRS?</u>
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ELECTRONIC DATA

<u>Category</u>	<u>Approx. Vol.</u>	<u>Chronology</u>	<u>Ret. Per.</u>	<u>OPRorRS?</u>
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